Caltrans Contracting Basics

Prepare Your SF330 Documents
Right The First Time!

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Presenters

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Agenda

- Working with Primes / Subs
- SF330: Before You Start
- SF330 Part I: Sections A Through H
- Part II: General Qualifications
- Presentation and Delivery
- Questions and Answers

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Working with Primes / Subs

- How do I get to know a prime?
- If you don't know who the players are, use your contacts with Calmentor
  - That's why primes invest their time in mentoring
  - Cost of proposals go down when primes and subs develop relationships

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SF330: Before You Start

READ!

- Instructions for the SF330 documents
  - Understand what each form requires and have a system in place for capturing required information early on
- Instructions from the RFQ
- Instructions from the Caltrans SOQ and Submittal Instructions (download from http://Caltrans-opac.ca.gov/aeinfo.htm)

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SF330: Before You Start

- Primes should contact subs early and provide them with editable (Word format) SF330 templates, if needed
  - Subconsultants may prefer to use templates customized with their company colors

- Primes should provide subs with a sample completed template, if needed

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SF330: Before You Start

- Primes should set a due date for receiving SF330's, allowing subs enough time to prepare the documents and primes enough time to review and request changes, if needed
  - Subconsultants should confirm receipt of the submittal request
- Primes should know the role(s) they want subconsultants to fill so that documents can be tailored accordingly

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SF330: Part I

- Required Documents
  - **Section A-C:** Contract Information
  - **Section D:** Organizational Chart
  - **Section E:** Resumes
  - **Section F:** Projects
  - **Section G:** Key Personnel Participation in Example Projects
  - **Section H:** Additional Information

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Section A-C: Contract Information

Tips

- List address closest to project
- Check whether office is branch
- List your role(s) in the contract as provided by the prime
- Fill in Part B and C only
  - **Part A is for Prime.** Prime incorporates information from all subconsultants into final document

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Section A-C
Example

Section D: Organizational Chart

- Section D is required of primes only
- Organizational chart should show clear reporting relationships and include all roles required for scope of work
- Roles on organizational chart should be indentical to roles on resumes

Section D
Example

Section E: Resumes

- Be selective in choosing the key personnel; right individuals for the project
- Limit 5 projects, not to exceed 2 pages
  - Select projects that best fit the project description and scope
  - Caltrans projects
  - Project location
- List project features, role and responsibility of individual
- Create continuity between E, F and G
  - Connect the dots

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Section E: Resumes

- "Role" is the role key personnel is performing on this project
- Years with current firm: 6 + months = 1 year, anything less = New
  - Don't use fractions
- Note the difference between the completion date of your service versus the completion date of construction

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Section E Example

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SF330 Part I: Section F

- 10 projects maximum, one project per page, include project photos
- Feature a combination of prime and subconsultant projects
- Verify reference / point of contact's information is current
- Select projects similar in scope and size
- Select projects key personnel worked on

Section F
Example

Section G: Key Personnel Participation

- Goal: Multiple "X"s in Section G
- Key Personnel listed in Section D & E need at least one project listed in G
  - ➢ Team members and team projects should tie together
  - ➢ Make sure roles are consistent between D, E & G
- Subs: increase your teaming experience
- Primes: increase the number of small firms you sub-contract to; stronger section G

Section 6 Example
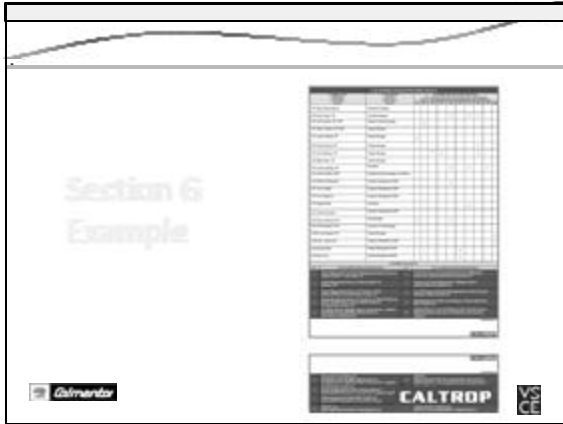
Section H: Additional Information

- Demonstrate understanding of project requirements and scope
- Highlight past performance / relevant experience of firms and key team members
- Use client terminology from RFQ
- Include photos of similar work
- Primes limited to 4 pages
- Subs limited to 2 pages

Section H Example

Part II: General Qualifications

- Not required for Caltrans submittals
- May be required for other agencies
- Section 9. Employees by Discipline
  - Be sure that your Function Codes are weighted to the experience required by the RFQ
- Section 10. Profile
  - Be sure that your Experience Categories (Profile Codes) are weighted to the experience required by the RFQ

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Presentation and Delivery

- Professional Appearance
  - Write concisely; entire proposal should appear as if it were written by one author
  - Free from grammatical errors
  - Clearly label cover: client name, project name, SOQ #
  - May incorporate firm and client's colors into cover / proposal design
  - Include tabbed sections to easily find information

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Presentation and Delivery

- Get the SF330 where it needs to go
  - Caltrans requires 2 delivery locations, usually with different number of copies
    - o Make sure the right number of SOQ copies get to the right location
    - o Make sure package is labeled correctly
  - Plan well in advance for your delivery method and timing – don't wait until the proposal is complete
    - o Hand delivery safest, when feasible; provide clear delivery instructions
    - o Couriers must be paid in advance; CODs not accepted

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Questions and
Answers
Thank you!